



PTO/SB/17 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete if Known

Application Number	09/775,675
Filing Date	2/2/01
First Named Inventor	Luetjens
Examiner Name	
Group Art Unit	
Attorney Docket No.	JAE24USA

TOTAL AMOUNT OF PAYMENT (\$) 676.00

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 08-3040
Deposit Account Name: Howson and Howson

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	355
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	
SUBTOTAL (1)			(\$) 355.00

2. EXTRA CLAIM FEES

Total Claims: 34
Independent Claims: 14
Multiple Dependent: 20
Extra Claims: 20
Fee from below: 9
Fee Paid: 126

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$126.00)

*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	65
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	130
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	
Other fee (specify) _____			
SUBTOTAL (3)			(\$) 195.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY

Name (Print/Type): William Bak
Signature: [Signature]

Registration No. (Attorney/Agent): 37,277

Complete (if applicable)

Telephone: 215-540-9216
Date: 4/17/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



sector 1/4

Please type a plus sign (+) inside this box → ☒

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031
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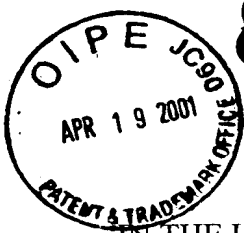
TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/775,675
	Filing Date	2/2/01
	First Named Inventor	Luetjens
	Group Art Unit	
	Examiner Name	
Total Number of Pages In This Submission	Attorney Docket Number	JAE24USA

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks		Copy of the Notice to File Missing Parts Verified Statement Claiming Small Entity English language translation Verification of Translation dated 2/28/01 First Preliminary Amendment Second Preliminary Amendment

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	William Bak
Signature	<i>William Bak</i>
Date	April 17, 2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 4/17/01			
Typed or printed name	Melody Rewald	Date	4/17/01
Signature	<i>Melody Rewald</i>		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



JAE24USA

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Luetjens

Application No.: 09/775,675

Filed: February 2, 2001

For: METHOD AND APPARATUS
FOR OPTICAL DETECTION OF
DEFORMATIONS,
PARTICULARLY SMALL
BUBBLES, IN OPTICAL DATA
CARRIERS

Examiner:

Group Art Unit:

CERTIFICATE UNDER 37 CFR 1.8(a)
I hereby certify that this correspondence
is being deposited with the United States
Postal Service as first class mail on the
date indicated below in an envelope addressed
to: Box Missing Parts, Commissioner for Patents
Washington, DC 20231.

Signature

Date

Box Missing Parts
Commissioner for Patents
Washington, DC 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS

Sir:

In timely response to the Notice to File Missing Parts of Non-provisional Application dated March 26, 2001, we enclose the following:


- (a) A copy of the Notice to File Missing Parts of Non-Provisional Application;
- (b) An executed Declaration and Power of Attorney (3 pages);
- (c) An executed Verified Statement Claiming Small Entity Status;
- (d) A check in the amount of \$676.00 which represents the basic small entity filing fee (\$355), the fee for 14 claims in excess of twenty for a small entity (\$126), the late small entity filing fee surcharge (\$65), and the fee for processing a non-English application under 37 CFR §1.17(k) (\$130);
- (e) An English language translation of the application, including: 17 pages of specification, eight pages of claims, one page of abstract, and eight sheets of drawings;

- (f) A one page Verification of Translation dated February 28, 2001 and signed by Kim Vitray, Operations Manager of Ralph McElroy Translation Company;
- (g) A First Preliminary Amendment which should be entered before the filing fee is calculated and which cancels all multiple dependent claims; and
- (h) A Second Preliminary Amendment.

Please use the verified English translation as the copy for the purpose of examination.

Please charge any deficiency or credit any overpayment to our deposit account no. 08-3040. A duplicate copy of this response is enclosed.

Respectfully submitted,
HOWSON AND HOWSON
Attorneys for Applicants

By 
William Bak
Reg. No. 37,277
Spring House Corp. Center
Box 457
Spring House, PA 19477
Telephone (215) 540-9216, ext. 240
Fax No. (215) 540-5818



UNITED STATES PATENT AND TRADEMARK OFFICE

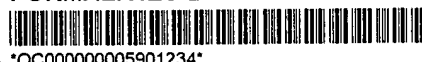
COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/775,675	02/02/2001	Dirk Luetjens	JAE24USA

CONFIRMATION NO. 3475

00270
HOWSON AND HOWSON
ONE SPRING HOUSE CORPORATION CENTER
BOX 457
321 NORRISTOWN ROAD
SPRING HOUSE, PA 19477

FORMALITIES LETTER



OC000000005901234



Date Mailed: 03/26/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- Applicant must file an English translation of the application, the \$ 130 fee set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- **The balance due by applicant is \$ 970.**
- Because your specification was filed in a language other than English, the Office was unable to determine the number of claims submitted. Additional claim fees may be due once the number of claims can be determined.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

04/20/2001 MAIL01 00000066 09775675
01 FC:201
02 FC:205
03 FC:139
04 FC:203
255.00
65.00
130.00
125.00

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Applicant or Patentee: **Luetjens**

Serial or Patent No. : **09/775,675**

Filed : **February 2, 2001**



Attorney's Docket No.: **JAE24USA**

For: **METHOD AND DEVICE FOR OPTICAL DETECTION
OF LOCAL DEFORMATIONS, ESPECIALLY BUBBLES,
IN AN OPTICAL DATA CARRIER (As Amended)**

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the
concern identified below:

NAME OF CONCERN Basler AG

ADDRESS OF CONCERN An der Strusbek 60-62, DE-22926 Ahrensburg,
Germany

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled **METHOD AND DEVICE FOR OPTICAL DETECTION OF LOCAL DEFORMATIONS, ESPECIALLY BUBBLES, IN AN OPTICAL DATA CARRIER**, inventor Dirk Luetjens described in

☐ the specification filed herewith

☒ application serial no. 09/775,675, filed February 2, 2001

☐ patent no. _____, issued _____

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME _____

ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT
ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

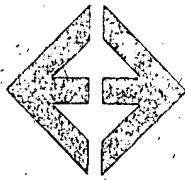
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Deitmar Ley

TITLE Member of the Board of Directors

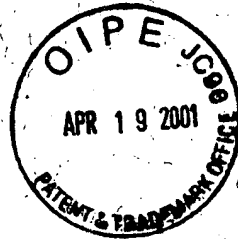
ADDRESS OF PERSON SIGNING An der Strusbek 60-62, DE-22926
Ahrensburg, Germany

SIGNATURE Deitmar Ley DATE 03/20/01



RALPH MCELROY TRANSLATION COMPANY

EXCELLENCE WITH A SENSE OF URGENCY



February 28, 2001

Re: 400-81386

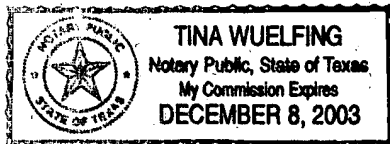
To Whom It May Concern:

This is to certify that a professional translator on our staff who is skilled in the German language translated the enclosed Method and Device for Optical detection of Local Deformations, Especially Bubbles, in an Optical Data Carrier from German into English.

We certify that the attached English translation conforms essentially to the original German language.

Kim Vitray
Operations Manager

Subscribed and sworn to before me this 28 day of FEBRUARY, 2001.


Tina Wuelfing
Notary Public

My commission expires: December 8, 2003

P.O. Box 4828
AUSTIN, TEXAS 78765

ALL LANGUAGES

(512) 472-6753
1-800-531-9977

(OVERNIGHT DELIVERY ONLY)
910 WEST AVE.
AUSTIN, TEXAS 78701



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